

PCT

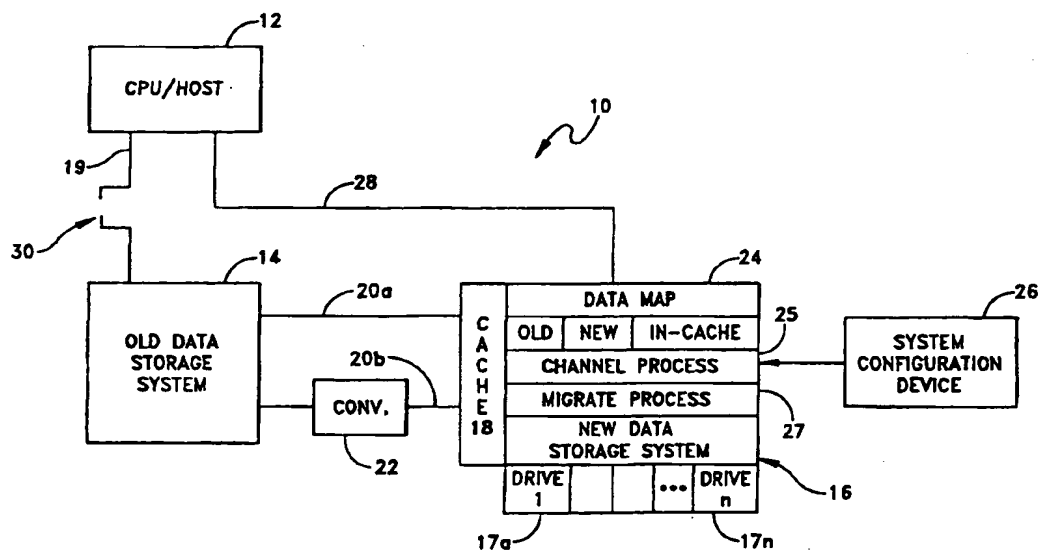
WORLD INTELLECTUAL PROPERTY ORGANIZATION  
International Bureau



INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

(51) International Patent Classification <sup>6</sup> : <b>G06F 12/00, 13/00</b>	<b>A1</b>	(11) International Publication Number: <b>WO 97/09676</b> (43) International Publication Date: <b>13 March 1997 (13.03.97)</b>
(21) International Application Number: <b>PCT/US96/13781</b> (22) International Filing Date: <b>29 August 1996 (29.08.96)</b> (30) Priority Data: <b>08/522,903</b> <b>1 September 1995 (01.09.95)</b> <b>US</b> (71) Applicant: <b>EMC CORPORATION [US/US]; 171 South Street, Hopkinton, MA 01748-9103 (US).</b> (72) Inventors: <b>OFEK, Yuval; 13 Forest Lane, Hopkinton, MA 01748 (US). YANAI, Moshe; 15 Catlin Road, Brookline, MA 02146 (US).</b> (74) Agent: <b>HERBSTER, George, A.; Pearson &amp; Pearson, 12 Hurd Street, Lowell, MA 01852 (US).</b>		(81) Designated States: <b>JP, KR, European patent (AT, BE, CH, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE).</b>  <b>Published</b> <i>With international search report.</i>

(54) Title: **SYSTEM AND METHOD FOR ON-LINE, REAL-TIME, DATA MIGRATION**



(57) Abstract

A system and method (25, 27) for providing on-line, real-time, transparent data migration from a first data storage system (14) to a second data storage system (16). The second data storage system is interposed between a host (12) and the first data storage system. A data map (24) identifies data elements stored on the second data storage system and corresponding data elements copied from the first to the second data storage system. In response to a host data request, the second data storage system retrieves the data if stored therein. Otherwise, the second data storage system retrieves the data from the first data storage system, writes the data to itself and updates the data map. When not busy servicing requests, the second data storage system copies data from the first to the second data storage device independently of any coupled host.

**FOR THE PURPOSES OF INFORMATION ONLY**

Codes used to identify States party to the PCT on the front pages of pamphlets publishing international applications under the PCT.

AM	Armenia	GB	United Kingdom	MW	Malawi
AT	Austria	GE	Georgia	MX	Mexico
AU	Australia	GN	Guinea	NE	Niger
BB	Barbados	GR	Greece	NL	Netherlands
BE	Belgium	HU	Hungary	NO	Norway
BF	Burkina Faso	IE	Ireland	NZ	New Zealand
BG	Bulgaria	IT	Italy	PL	Poland
BJ	Benin	JP	Japan	PT	Portugal
BR	Brazil	KE	Kenya	RO	Romania
BY	Belarus	KG	Kyrgyzstan	RU	Russian Federation
CA	Canada	KP	Democratic People's Republic of Korea	SD	Sudan
CF	Central African Republic	KR	Republic of Korea	SE	Sweden
CG	Congo	KZ	Kazakhstan	SG	Singapore
CH	Switzerland	LI	Liechtenstein	SI	Slovenia
CI	Côte d'Ivoire	LK	Sri Lanka	SK	Slovakia
CM	Cameroon	LR	Liberia	SN	Senegal
CN	China	LT	Lithuania	SZ	Swaziland
CS	Czechoslovakia	LU	Luxembourg	TD	Chad
CZ	Czech Republic	LV	Latvia	TG	Togo
DE	Germany	MC	Monaco	TJ	Tajikistan
DK	Denmark	MD	Republic of Moldova	TT	Trinidad and Tobago
EE	Estonia	MG	Madagascar	UA	Ukraine
ES	Spain	ML	Mali	UG	Uganda
FI	Finland	MN	Mongolia	US	United States of America
FR	France	MR	Mauritania	UZ	Uzbekistan
GA	Gabon			VN	Viet Nam

-1-

Background of the InventionSystem and Method For On-Line, Real Time, Data Migration  
Technical Field

This invention relates to data storage systems and  
5 more particularly, to a system and method for on-line  
replacement of an existing data storage subsystem.

Background Art

Data processing centers of businesses and organizations  
such as banks, airlines and insurance companies, for example,  
10 rely almost exclusively on their ability to access and  
process large amounts of data stored on a data storage  
device. Data and other information which is typically stored  
on one or more data storage devices which form part of a  
larger data storage system is commonly referred to as a  
15 database.

Databases are nearly always "open" and constantly "in  
use" and being accessed by a coupled data processing system,  
central processing unit (CPU) or host mainframe computer. The  
inability to access data is disastrous if not a crisis for  
20 such business and organizations and will typically result in  
the business or organization being forced to temporarily  
cease operation.

During the course of normal operations, these businesses  
and organizations must upgrade their data storage devices and  
25 data storage systems. Although such upgrading sometimes  
includes only the addition of data storage capacity to their  
existing physical systems, more often than not upgrading  
requires the addition of a completely separate and new data  
storage system. In such cases, the existing data on the  
30 existing data storage system or device must be backed up on  
a separate device such as a tape drive, the new system  
installed and connected to the data processing unit, and the  
data copied from the back-up device to the new data storage  
system. Such activity typically takes at least two days to  
35 accomplish. If the conversion takes more than two days or if  
the business or organization cannot withstand two days of  
inoperability, the need and desire to upgrade their data  
storage system may oppose an insurmountable problem.

-2-

Some prior art data copying methods and systems have proposed allowing two data storage systems of the same type, a first system and a second system, to be coupled to one another, and allowing the data storage systems themselves to control data copying from the first to the second system without intervention from or interference with the host data processing system. See for example, the data storage system described in U.S. Patent Application No. 08/052,039 entitled REMOTE DATA MIRRORING, fully incorporated herein by reference, which describes one such remote data copying facility feature which can be implemented on a Symmetrix 5500 data storage system available from EMC Corporation, Hopkinton, Massachusetts.

Although such a system and method for data copying is possible, in most instances, the first and second data storage systems are not of the same type, or of a type which allow such a "background" data migration to take place between the two data storage systems, unassisted by the host and while the database is open. Additionally, even on such prior art data storage systems, migrating data as a "background" task while the database is "open" does not take into account the fact that the data is constantly changing as it is accessed by the host or central processing unit and accordingly, if the old system is left connected to the host, there will always be a disparity between the data which is stored on the old data storage system and the data which has been migrated onto the new data storage system. In such cases, the new data storage system may never fully "catch up" and be able to be completely synchronized to the old data storage system.

Accordingly, what is needed is a system and method for allowing data migration between a first data storage system and a second data storage system while the database is open and in real-time, completely transparent to the host or data processing unit.

#### Disclosure of Invention

This invention features a system and method for providing on-line, real-time, transparent data migration between two data storage devices. The system includes a

-3-

first data storage device which was previously coupled to an external source of data including a data processing device such as a host computer, or a network which may be connected to a number of data processing devices such as a number of  
5 host computers. The data processing device such as a host computer reads data from and writes data to the data storage device. The first data storage device initially includes a plurality of data elements currently being accessed by the data processing device.

10 At least one second data storage device is provided which is coupled to the first data storage device and to the data processing device, for storing data elements to be accessed by the data processing device. The second data storage device preferably includes a data element map  
15 including at least an indication of whether or not a particular data element is stored on the second data storage system.

In one embodiment, the second data storage system independently migrates data from the first to the second data  
20 storage system independent of the source. In another embodiment, the second data storage system is responsive to the external source, for migrating data from the first to the second data storage system.

In yet another embodiment, the data processing device  
25 issues a data read request (in the case of a read data operation), or a data write command (in the case of a write operation). The request is received by the second data storage device. In the case of a read operation, second data storage device examines the data map or table to determine  
30 whether or not the data has been migrated to and is stored on the second data storage device. If it is determined that the data is stored on the second data storage device, the data is made available to the requesting device.

If the data is not stored on the second data storage  
35 device, the second data storage device issues a data request, in the form of a read data command, to the first data storage device, obtains the data and makes the data available to the requesting device. The data received from the first data

-4-

storage device is also written to the second data storage device and the data map updated.

In the case of a write operation, one embodiment contemplates that if the data received from the data processing device is destined for a location on the data storage system that has not yet been copied or 'migrated' from the older or first data storage device (a data storage location marked in the data map as 'need to migrate'), and the data is not a full or complete data element (for example, not a 'full track' of data) the write operation is suspended, the "complete" data element from the corresponding location (a 'full track' for example) on the first data storage device is read into the cache memory on the second data storage device, the in-cache flag or bit set, the data storage location marked or identified as 'write pending', and the write operation resumed meaning that the data will be 'written' to and over the 'full track' of data now stored in the cache memory of the second data storage system. In other embodiments, the older data may not be retrieved from the first or older data processing device if the new data to be written is known to be a complete data element (a 'full track' for example).

When the second data storage device is not busy handling data read or write requests from a coupled data processing device, such as a host computer, the second data storage system examines its data map/table to determine which data elements are resident on the first data storage device and are not stored on the second data storage device. The second data storage device then issues read requests to the first data storage device requesting one or more of those data elements, receives the data, writes the data to the second data storage device and updates the data map/table to indicate that the data is now stored on the second data storage device.

In this manner, there is no need to perform time consuming off-line data migration between first and second data storage devices but rather, the data copying or migration can occur in real-time, while the data storage devices are on-line and available to the host or other

requesting device, and completely transparent to the coupled data processing device.

In the preferred embodiment, the second data storage device further includes or is coupled to a data storage  
5 device system configuration device, such as a computer, which provides configuration data to the data element map or table on the second data storage device, allowing the second data storage device to be at least partially configured in a manner which is generally similar or identical to the first  
10 data storage device.

Additionally, the preferred embodiment contemplates that the second and first data storage devices are coupled by a high speed communication link, such as a fiber optic link employing the "ESCON" communication protocol. The preferred  
15 embodiment also contemplates that the data storage device includes a plurality of data storage devices, such as disk drives. In this case, data elements may include one or more of a disk drive volume, track or record.

#### Brief Description of the Drawings

20 These and other features and advantages of the present invention will be better understood by reading the following detailed description, taken together with the drawings wherein:

Fig. 1 is a schematic diagram of an exemplary data  
25 processing and data storage system on which the system and method for providing on-line, data transparent data migration between first and second data storage systems in accordance with the present invention may be accomplished;

Fig. 2 is a schematic illustration of a data element map  
30 or table;

Fig. 3 is a flowchart outlining the steps of providing on-line, transparent data migration between first and second data storage systems according to the method of the present invention; and

35 Fig. 4 is a flowchart illustrating the steps for providing data migration between first and second data storage systems without data storage device or host system intervention when the second data storage device is not busy

handling data requests from the host or data processing device.

Best Mode For Carrying Out the Invention

The present invention features a system and method for providing on-line, real-time, transparent data migration between two data storage systems, at least one of which is coupled to a data processing device such as a host computer.

An exemplary system 10, Fig. 1 on which the present invention may be performed and implemented includes a host computer, central processing unit or other similar data processing device 12. The data processing device 12 is initially coupled to a first data storage system 14. In most instances, the first data storage system 14 is an older data storage system which is either not large enough to handle the needs of the data processing device 12, or for some other reason is going to be completely or partially replaced or augmented by the addition of a second data storage system 16.

The first data storage system 14 is initially coupled to the data processing device 12 by means of a data communication link 19. The second data storage system 16 is coupled to the first data storage system 14 by means of one or more data communication paths 20a, and/or 20b. Examples of data communication paths 20a-20b include an IBM "bus and tag" connection well known to those skilled in the art, and higher speed fiber optic connections such as an ESCON data connection.

If the first and second data storage systems 14, 16 have an incompatible data communication protocol or interface, a protocol converter 22 may be provided on one or more of the data communication links 20a, 20b as required, and as is well known in the art.

The second data storage system 16 includes a data map or table 24 of data elements which are stored on at least the second data storage system 16. The data map or table is established during the set-up or configuration of the second data storage system 16 and is dependent on the particular configuration of the second data storage system 16.

Preferably, the data map/table 24 also includes information about data elements which are stored in the first



data storage system 14, the use of such a data map/table will be explained in greater detail below.

The second data storage system 16 is typically and preferably coupled to a data storage system configuration device 26 such as a computer, which allows the user to configure the second data storage system 16 and the data map/table 24 as desired by the user. In the preferred embodiment, the second data storage system 16 is at least partially configured exactly as the first data storage system 14 is configured in terms of the number of logical devices, storage size, storage system type (3380/3390, for example) etc.

In the preferred embodiment, the data storage system configuration device 26 allows the user to configure at least a portion of the data storage area on second data storage system 16 to include data element storage locations or addresses which correspond to data element storage addresses on the first data storage system 14.

In the preferred embodiment, the second data storage system 16 is a disk drive data storage system employing a large number of fixed block architecture (FBA) formatted disk drives 17a-17n, and adapted for storing large amounts of data to be accessed by a host computer or other data processing device 12. The exemplary second data storage system 16 also typically includes a cache memory 18 which serves to hold or buffer data read and write requests between the second data storage system 16 and the host or other data processing device 12. Such data storage systems are well known to those skilled in the art and include, for example, the Symmetrix 5500 series data storage system available from EMC Corporation, Hopkinton, Massachusetts, a description of which is incorporated herein by reference.

Initially, the second or new data storage system 16 is first coupled to the first data storage system 14 by means of one or more data communication links or paths 20a, 20b. After the second data storage system 16 has been configured using a system configuration device 26 or other similar or equivalent device, or by the host 12, the second data storage

- 8 -

system 16 is coupled to the host computer 12 or other data processing device by means of a data communication path 28.

Preferably, data communication path 28 is a high speed communication path such as a fiber optic "ESCON" communication path, although any and all other communication paths are considered to be within the scope of the present invention. Immediately before connecting data communication path 28 between the host or other data processing unit 12 in the second data storage system 16, the previously existing data communication path 18 between the host 12 and the first data storage system 14 is disconnected or severed as illustrated at arrow 30.

Thus, in contrast with the prior art whereby the host or other data processing system 12 must be taken off line for a number of days in order to allow for backing up of data on the first data storage system 14 followed by the replacement of the first data storage system 14 with a second data storage system 16 and subsequent copying of all of the data onto the new data storage system 16, or a host which remains coupled to the original 'first' data storage system 14, the present invention only requires the host computer or other data processing device 12 to be off line or service interrupted for a relatively short period of time (the procedure typically takes approximately 10 minutes or less), while the first data signal path 19 is severed or disconnected and the second data signal path 28 is established between the second or new data storage system 16 and the host computer or other data processing device 12.

Accordingly, after the second data storage system 16 has been connected to the host or other data processing unit 12, whenever the host or data processing unit 12 issues a request to read data from or write data to "its" data storage system, the request is received by the second data storage system 16. Using a bit or flag from the data map/table 24 previously established and configured, the second data storage system 16, by scanning data map/table 24, determines whether or not the data requested (in the case of a read operation) is stored on the first data storage system 14 or on the second data storage system 16.

Such a hierarchical data map/table 24 is further explained and exemplified herein as well as in U.S. Patent Nos. 5,206,939 and 5,381,539 assigned to the assignee of the present invention and both fully incorporated herein by  
5 reference.

If the data is already stored in the second data storage system 16, the second data storage 16 retrieves the data (perhaps temporarily storing the data in cache memory 18) as is well known in the art, and makes the data available to the  
10 host or other requesting data processing device 12.

If the requested data is not on the second data storage system 16, channel or real-time data handling process 25 of the second data storage system 16 issues a read data request to the first data storage system 14 in the manner and format  
15 native or known to the first data storage system 14 (for example, standard IBM data read commands). Channel or real-time data handling process 25 is, in the preferred embodiment, a software program comprising a series of commands or instructions which receives one or more commands  
20 from the second data storage system interface to the host or CPU (typically called a "channel"), interprets those commands, and issues one or more corresponding commands which can be acted upon by the first data storage system. Such an 'interpreter' type of software is well known to those skilled  
25 in the art.

The first data storage system 14 then retrieves the requested data and provides it to the second data storage system 16. The second data storage system 16 then makes the data available to the host or other data processing unit 12  
30 which has requested the data.

Since the second data storage system now has a copy of the data, the data will be written to the second data storage system 16 and the appropriate data map/table 24 flags or bits updated to indicate that the data has been migrated to the  
35 second data storage system 16 so that next time the same data element is requested, the second data storage system 16 will have the data already stored on the system and will not have to request it from the first data storage system.

-10-

Further, as will be explained in greater detail below, the second data storage system 16 can perform a "background" data migration procedure or process 27. The "background" data migration procedure of process 27 is, in the preferred  
5 embodiment, a software program including a series of instructions which coordinate, monitor and control data migration whereby whenever the second data storage system is not busy handling data input/output requests from the host or other data processing device 12, the migrate process 27 of  
10 the second data storage system 16 determines which data on the first data storage system has not been copied by reading a specified flag or bit in its data table/map 24, and copies or "migrates" the data from the first data storage system 14 to the second data storage system 16 completely transparent  
15 to the host 12, and often in parallel with the channel process 25 which may be retrieving data from the first data storage system 14 in response to requests from the host or CPU 12, while maintaining full accessibility to the data by the host or other data processing device 12.

20 An exemplary data element map/table 24 is shown in greater detail in Fig. 2. In the preferred embodiment, the data map/table 24 is organized in a hierarchical fashion. For example, for the preferred embodiment wherein the data storage system includes a plurality of longer term data  
25 storage devices such as disk drives 17a-17n, and wherein each disk drive is partitioned into one or more logical "volumes" and each volume comprises a number of disk drive tracks, the data map/table 24 will first have an entry 50 for each physical and/or logical device such as a disk drive.

30 The device entry 50 will be followed by an entry 52 for a first logical volume, followed by one or more entries 54a-54c for each track of the device which comprises the logical volume 52. The entries 52, 54a-54c for the first logical  
35 volume will be followed by entry line 56 for the second logical volume configured on the physical device indicated by the entry at line 50.

All information about the data storage system and each device in the data storage system with the exception of the "data in cache" indication flag or bit 58 is stored in

-11-

hierarchical format in the data map/table 24. Thus, whenever the second data storage system 16 desires or needs to obtain information about a particular data element (be it an individual data record, track or volume), the data storage  
5 system 16 scans the data map/table 24 beginning at the device level 50 to determine whether or not the desired criterion or characteristic has been established for any track or volume of a device.

There will be a 'flag' or other similar indicator bit  
10 set, or other indication of the desired characteristic in the device entry 50, in the volume entry 52 and in the appropriate track entry 54 if the desired characteristic is found in that portion of the data storage device represented by the data map/table 24.

For example, the preferred embodiment of a data  
15 map/table 24 includes a write pending flag or bit 61 which is set if a particular data element is presently stored in cache 18 of the second data storage system 16 and must be written to longer term storage such as a disk drive 17a-17n. For  
20 exemplary purposes, assuming that track 2 of volume 1 is in cache 18 in the second data storage system 16 and write pending, the write pending flag or bit 61 and the in cache bit 58 at line entry 54b (for track two) will be set, as will the write pending bit 61 of volume 1 at line 52 of the data  
25 map/table 24, as will the write pending bit 61 of the device at line 50.

Thus, if the second data storage system 16 wishes to determine whether or not a particular track or record which has been requested is write-pending or has been migrated to  
30 the second system or of the status of some other attribute or characteristic, the data storage system 16 first determines which device or disk drive 17a-17n the data element is stored on and then checks the appropriate indicator flag bit for that device. If the particular indicator flag bit is not set  
35 for that device, then the second data storage system 16 knows immediately that no lower level storage unit or location such as a volume or track in that device has that attribute. If any lower data storage element in the hierarchical structure

-12-

such as a track or volume includes the attribute, than the attribute or flag bit for the device will be set.

Similarly, if a particular data storage location such as a record or track which is part of a logical volume has the requested attribute, then the corresponding attribute or flag bit for the volume will be set. The data storage system can thereby quickly determine whether any data storage location having a lower level than the volume or other similar logical or physical partition being examined has the particular attribute, without scanning or searching each and every lower level data storage location.

The "in-cache" flag or bit is an exception to the hierarchical structure in that since each line or entry of the data map/table 24 is directly addressable, the second data storage system directly addresses the table entry line for a particular data element when it must inquire or "look-up" whether that particular data element is presently "in-cache". It is understood, however, that this flag or bit could be managed in a hierarchical fashion without departing from the scope of this invention.

In addition to the in-cache bit or flag and the write pending flag or bit 61, the data map/table 24 which is one feature of the present invention includes, in the preferred embodiment, other flag bits 62 such as an invalid track format flag or bit, and an indication of whether or not data on a particular device, volume or track needs migration or has been migrated from the first to the second data storage system 14/16 respectively, as shown generally by flag or indicator bit 60.

Data map/table 24 may further include a physical address entry for each element in the map or table 24, which identifies the beginning data address at which the corresponding data element can be found on the disk drive 17a-17n of the new or second data storage system 16.

The operation of the method according to the present invention will be described in greater detail beginning with step 100, Fig. 3, wherein the second data storage system 16 receives a data element read or write request from the host or other data processing device 12, step 100. The method

-13-

next determines if the request or command is a read or a write request, step 101. If the command is a read command, the channel handling process 25 of the second data storage system 16 next determines if the requested data is already  
5 stored in the second data storage system 16, step 102, by reading its data table map/table 24.

If the data is stored on the second data storage system, step 102, the second data storage system 16 will make the data available to the host or other requesting data  
10 processing device 12, step 104, and return to step 100 to await receipt of a new data read or write request.

If, however, at step 102, the second data storage system 16 determines that the data is not presently stored on the second data storage system 16, the second data storage system  
15 16 will generate a request to the first data storage system 14 to read the data, step 106.

The command or request to read data from the first data storage system 14 takes the same form as a read data command which would be issued from the host 12. Thus, for example,  
20 if the host 12 is an IBM or IBM compatible host or data processing device, the second data storage system 16 will issue an IBM compatible "read" command to the first data storage system 14. The channel and migrate processes 25,27 of the second data storage system 16 maintain a list of  
25 commands native to the first data storage system 14 and can easily convert command types, if necessary, from a first command type issued by the host 12 and understood by the second data processing system 16, to a second command type understood by the first data storage system 14.

30 Subsequently, the second data storage system 16 receives the requested data from the first data storage system 14, step 108 and writes the data to the cache memory 18 of the second data storage system 16 while updating the data element map/table 24, step 110. The second data storage system 16  
35 then provides an indication to the host or data processing device 12 that the data is ready to be read, step 112. Subsequently, the second data storage system 16 will write the data from cache memory 18 to a more permanent storage location, such as a disk drive, on the second data storage

-14-

system 16, step 114, followed by a final update to one or more bits or flags of the data element map/table 24, step 116.

Thus, in the case where requested data is not yet stored  
5 on the second data storage system 16, the "read request" command from the host 12 results in the second data storage system 16 "migrating" the data from the first data storage system 14 to the second data storage system 16.

If the host or other data processing system 12 issues a  
10 write request or command, step 120, the channel process 25 of the second data storage system 16 determines if the data to be written has been previously migrated from the first to the second data storage system, step 122. If the data has been previously migrated, step 122, the second data storage system  
15 writes the data to cache and updates any necessary flags or bits in the data map/table 24, step 110. Processing continues as previously described.

If, however, the data has not been previously migrated, step 122, the method of the present invention next  
20 determines, by the type of command or request issued by the host (for example in the case of IBM host commands), whether or not the write request is for a full or complete data element storage location, such as a full or complete "track" of data, step 124. If the write request is for a full  
25 "track" or other similar type of data block or content, the second data storage system does not need to worry about migrating the data from the first data storage system 14 since all the "old" data is being replaced by the current command and therefore, processing continues to step 110 as  
30 previously described.

If however, the method determines that the write request is for less than a full or complete data block or confine, such as a track, step 124, the method next temporarily suspends handling of the write request, step 126 and issues  
35 a "read" command for the full or complete "track" to the first data storage system 14, and reads a predetermined amount of data (a whole track of data for example), step 128, and copies the full "track" of data to the cache memory 18 of the second data storage system 16. The new data to be



-15-

written is then written into the proper memory location in cache memory 18 (the occurrence of the actual "write" command), the data table/map 24 updated (for example, to indicate that the data is in cache memory 18 [data in cache bit set], that a write is pending on this data [write pending bit set], and that the data elements have been migrated [data needs migration bits re-set]) and the host or other central processing unit 12 informed that the write command is complete.

10       At some later time, the data in cache memory 18 which has been flagged as write pending is copied to a more permanent storage location, such as a disk drive, and the write pending bit reset.

Typically, data write requests are performed to update  
15       only a portion of the total or complete number of data elements stored in a predetermined data storage element or physical/logical confine (such as a disk drive track). The present invention, however, also realizes that in some cases, such as when the host or data processing unit 12 provides an  
20       indication that both the data structure (format) as well as the actual data contents are to be updated, reading old data from the first data storage system 14 may be eliminated since all data and data format or structure will be updated with the new write request. Such a data and format write command  
25       is so infrequent, however, that the preferred embodiment contemplates that each write request will cause a write request to be read from the first data storage system 14.

The method of present invention also allows the second or new data storage system 16 to provide transparent or  
30       "background" data migration between the first data storage system 14 and the second data storage system 16 irrespective of or in parallel with the data transfer or migration caused by the channel process which is serving the "channel" between the host 12 and the second data storage system 16. Since the  
35       goal of providing the second or new data storage system 16 is to generally provide enhanced or increased capabilities to the host or other data processing system 12, it is therefore desirable to migrate the data as quickly yet as unobtrusively

-16-

as possible from the first to the second data storage system.

Thus, with the background migrate or copy "task" or "process" 27, the method of the present invention which is a series of software instructions executed by a central processing unit in the second data storage system 16 according to the present invention (such hardware and software as is well known in the art, see for example the EMC Symmetrix series 5500 data storage systems), the present method first determines whether the second data storage system 16 is completely busy servicing read or write data requests from the host or other connected data processing system 12, step 200, Fig. 4. If the second data storage system 16 is completely busy handling such requests to and from the host or data processing system 12 or completely busy handling other data input/output (I/O) operations in the second data storage system 16, further processing does not take place but instead the migrate process 27 awaits a "no busy" or "available" indication from the operating system of the second data storage system 16.

Once the second data storage system 16 is not busy handling internal input/output (I/O) requests or requests from the host or data processing device 12, the second data storage system 16 reads the data map/table 24, step 202 and determines which data elements have not been copied from the first data storage system 14 to the second data storage system 16, step 204.

As previously mentioned, during initial configuration of the second data storage system 16, before the second data storage system comes "on line", the user or system engineer will utilize a system configuration device 26, such as a personal computer or other input device, to configure at least a portion of the data storage locations 17a-17n in the second data storage system 16 to exactly emulate (i.e. have the same memory addresses) the data storage system configuration of the first or older data storage system 14. Generally, the new or second data storage system 16 will have a greater storage capacity than the first or "old" data storage system 14 and therefore, additional storage areas or locations will become available. Therefore, if the first data

-17-

storage system 14 includes a predetermined number of drives or volumes, each drive or volume having a certain number of tracks or records, the second data storage system will be configured to imitate such a configuration.

5       Once the second data storage system 16 has determined that least one data element (such as a track) has not been copied from the old or first data storage system 14, the second data storage system 16 issues a request to the first data storage system 14 for the data element, step 206. Once  
10 received, the second data storage system 16 stores the data on the second data storage system 16 (typically in cache memory 18), step 208, updates the second data storage system data map/table 24, step 210, and returns to step 200 to determine whether or not there is a pending data read or  
15 write request from the host or other data processing system 12.

In one embodiment, the present invention contemplates that it may be desirable to "prefetch" data from the first data storage system 14 to the second data storage system 16.  
20 For example, the migrate or copy process 27 may, using commands native to the first data storage system 14, issue a prefetch or "sequential" data access request or command to the first data storage system 14, to cause the first data storage system 14 to continue to fetch or 'prefetch' a  
25 certain number of data elements to the cache memory 18 of the second data storage system 16. Such prefetching can significantly speed up the transfer of data between the first and second data storage systems 14,16 by greatly reducing the number of "read" commands which must be passed between the  
30 data storage systems.

In another embodiment, the migration process 27 may determine that one or more read requests from the host 12 are part of a sequence of such read requests. In such an instance, the channel process 27 may take the current address  
35 of data being requested by the host 12 and increase it by a predetermined number. For example, if the host 12 is currently requesting data from an address '411', the channel process 25 will issue a read request to the first data storage system 14 for the data at address 411. Generally

-18-

simultaneously, the channel process will pass an indication to the migrate process 27 to begin prefetching or migrating data from address '413'. Thus, the migrate process 27 will be used to insure that the second data storage system 16 gets  
5 'ahead' of the channel process 25 and the actual data requests from the first data storage system 14. The channel process 25 will handle requests from the host 12 for data at addresses 411 and 412. Subsequent requests will already be in cache in the second data storage system 16 and quickly  
10 handled by the second data storage system 16.

Accordingly, the present invention provides a unique data storage system and method which allows a new or second data storage system to be connected to an existing host or other data processing device with essentially no time loss in  
15 access to the data stored on a first data storage system. While maintaining real time, on-line availability of the data to the host or other connected data processing device, the system and method of the present invention provides accessibility to current and past data. With background  
20 operations, data is migrated from the first or older data storage device to the new data storage system.

Although the present invention is preferably implemented in software, this is not a limitation of the present invention as those well know in the art can appreciate that  
25 the present invention can be implemented in hardware or in various combinations of hardware and software, without departing from the scope of the invention.

Modifications and substitutions by one of ordinary skill in the art are considered to be within the scope of the  
30 present invention which is not to be limited except by the claims which follow.

What is claimed is:

-19-

Claims

1. A system for providing on-line, transparent data migration between first and second data storage systems, comprising:
  - 5 a first data storage device, holding a plurality of data elements; and
  - a second data storage device, coupled to said first data storage device, for independently migrating data from said first to said second data storage devices.
- 10 2. The system of claim 1 wherein said second data storage device is coupled to an external source of data, and responsive to said external source of data, for migrating data from said first to said second data storage devices.
- 15 3. The system of claim 1 wherein said second data storage device includes a data element map, said data element map for indicating whether at least one predetermined data element is stored on said second data storage device.
- 20 4. The system of claim 3 wherein said second data storage device is responsive to said indication from said data element map indicating whether said at least one predetermined data element is stored on said second data storage device, for selectively obtaining said at
- 25 least one predetermined data element from said first data storage device independent of said external source.
5. The system of claim 4 wherein said second data storage device is responsive to one of a read or a write
- 30 command accessing said at least one predetermined data element issued by said external source, for selectively obtaining at least said at least one predetermined data element from said first data storage device, and for storing said obtained data on
- 35 said second data storage device.

-20-

6. A system for providing on-line, transparent data migration between first and second data storage systems, comprising:  
a data processing device, for reading data from and  
5 writing data to at least one data storage device;  
a first data storage device, holding a plurality of data elements; and  
a second data storage device, coupled to said data  
10 processing device and to said first data storage device, said second data storage device including a data element map, said data element map for indicating whether said at least one predetermined data element is stored on said second data storage device, said  
15 second data storage device responsive to at least said indication of whether said at least one predetermined data element is stored in said second data storage device and responsive to one of a read or a write command accessing said particular data element issued by said data processing device, for selectively  
20 obtaining data from said first data storage device and for storing said obtained data on said second data storage device.
7. The system of claim 6 wherein said second data storage device is responsive to a read command for a  
25 predetermined data element received from said data processing device, and to an indication that said predetermined data element is not stored on said second data storage device, for issuing a data read command to said first data storage device for at least  
30 said predetermined data element.
8. The system of claim 7 wherein said second data storage device issues a data read command for a plurality of predetermined elements to said first data storage device.
- 35 9. The system of claim 8 wherein said plurality of data elements include a plurality of sequential data elements.
10. The system of claim 6 wherein said second data storage system is responsive to a data write command received

-21-

- from said data processing device directing said second data storage device to write a predetermined data element from said data processing device to a longer term data storage device, and responsive to an indication that said predetermined data element is not stored on said second data storage device, for issuing a data read command to said first data storage device for at least said predetermined data element.
11. The system of claim 10 wherein said second data storage device is responsive to an indication that said data write command received from said data processing device is for a predetermined data element which is a portion of a complete data element storage location, for issuing said data read command to said first data storage system.
12. The system of claim 11 wherein said second data storage device is responsive to an indication that said data write command received from said data processing device is for a predetermined data element which is an entire data element storage location, for writing said received data element to said second data storage device.
13. The system of claim 12 wherein said entire data element storage location includes a disk drive track.
14. The system of claim 6, further including a data storage device configuration device, coupled to said second data storage device, for providing data storage device configuration data to said second data storage device and to said second data storage device data element map.
15. The system of claim 6 wherein said data processing device includes at least one host computer.
16. The system of claim 6 wherein said data processing device includes a network.
17. A method for migrating data from a first data storage device to a second data storage device coupled to an external source of data and to said first data storage device, said first data storage device holding a plurality of data elements, at least some of said

-22-

plurality of data elements to be copied to said second data storage device, said method comprising the steps of:

- 5 configuring said second data storage device to include a plurality of data element storage location addresses corresponding to at least a number of data element storage location addresses on said first data storage device; and
- 10 selectively and independently copying at least one predetermined data element from said first to said second data storage device by said second data storage device.
18. The method of claim 17 wherein said second data storage device is responsive to said external source,
- 15 for selectively copying at least one predetermined data element from said first to said second data storage device.
19. The method of claim 17 wherein said external source includes a network.
- 20 20. The method of claim 19 wherein said second data storage device selectively copies said at least one predetermined data element from said first to said second data storage device independent of said network.
- 25 21. The method of claim 17 wherein said external source includes at least one data processing device.
22. The method of claim 21 wherein said second data storage device includes a data element map providing at least an indication of whether a data element
- 30 having a predetermined data element storage location address is stored on said second data storage device, the method further including the steps of:
- receiving, by said second data storage device, from said data processing device, at least one of a data
- 35 element read and a data element write request regarding at least one data element stored at a predetermined data element storage location address on said first data storage device;



-23-

searching said data element map by said second data storage device to determine if said at least one data element is stored on said second data storage device; and

5 responsive to said searching, selectively copying said at least one data element from said first to said second data storage device.

23. A method for migrating data from a first data storage device previously coupled to a data processing device, to a second data storage device presently coupled to said data processing device and to said first data storage device, the first data storage device including a plurality of data processing elements previously accessed by said data processing device, at least some of said plurality of data elements to be copied to said second data storage device, said second data storage device including a data element map including at least an indication of whether a data element having a predetermined data element storage location address is stored on said second data storage device, said method comprising the steps of:

10 configuring said second data storage device to include a plurality of data element storage location addresses corresponding to data element storage location addresses on said first data storage device;

15 receiving, by said second data storage device, from said data processing device, at least one of a data element read and a data element write request regarding at least one data element;

20 searching said data element map by said second data storage device to determine if said at least one data element is stored on said second data storage device; and

25 responsive to said searching, selectively copying said at least one data element from said first to said second data storage device.

30

35

-24-

24. The method of claim 23 further including the steps of:  
determining by said second data storage device that  
said data element request is a data read request and  
performing the steps of:
- 5 determining whether said requested at least one data  
element is stored on said second data storage device;  
if said requested at least one data element is stored  
on said second data storage device, providing said  
requested at least one data element to said data  
10 processing device;  
if said requested at least one data element is not  
stored on said second data storage device, performing  
the steps of:  
generating a data element request to said first data  
15 storage device for said at least one data element  
requested by said data processing device;  
retrieving said at least one data element by said  
first data storage device, and providing said  
retrieved at least one data element to said second  
20 data storage device; and  
said second data storage device receiving said  
retrieved at least one data element from said first  
data storage device, and providing said requested at  
least one data element to said data processing device.
- 25 25. The method of claim 23 further including the steps of:  
determining by said second data storage device that  
said data element request is a data write request and  
performing the steps of:  
determining whether said at least one data element to  
30 be written is currently stored on said first or said  
second data storage device;  
if said requested at least one data element is stored  
on said second data storage device, writing said at  
least one data element to said second data storage  
35 data storage device;  
if said at least one data element to be written is not  
stored on said second data storage device, performing  
the steps of:

-25-

- generating a data element read request to said first data storage device for said at least one data element requested to be written by said data processing device;
- 5 retrieving said at least one data element by said first data storage device, and providing said retrieved at least one data element to said second data storage device;
- 10 said second data storage device receiving said retrieved at least one data element from said first data storage device; and
- said second data storage device writing said at least one data element to be written to said second data storage device.
- 15 26. The method of claim 23, wherein said first data storage device is previously coupled to said data processing device, and prior to coupling said second data storage device to said data processing device, performing the step of uncoupling said first data
- 20 storage device from said data processing device.
27. The method of claim 23, wherein said step of receiving said requested at least one data element stored in said first data storage device by said second data storage device includes storing said received
- 25 requested at least one data element in cache memory.
28. The method of claim 23, further including, after said step of receiving said requested at least one data element from said first data storage device, the step of updating said data element map.
- 30 29. The method of claim 23, further including, after the step of providing said requested at least one data element to said data processing device, the step of writing said requested at least one data element to said second data storage device.
- 35 30. The method of claim 23, further including, the steps of:
- determining that said second data storage device is not completely busy at least responding to data

-26-

- element read and write requests from said data processing device;  
reading said data element map of said second data storage device;
- 5 determining which data elements stored on said first data storage device have not been copied to said second data storage device;  
requesting said data elements which have not been copied to said second data storage device from said
- 10 first data storage device;  
storing said requested data elements on said second data storage device; and  
updating said data element map to indicate that said copied data elements are stored on said second data storage device.
- 15 31. The method of claim 23 wherein a channel process of said second data storage device provides an indication to said first data storage device that a series of requests for a series of data elements will be a sequential data element request.
- 20 32. The method of claim 24 wherein the step of generating a data element request to said first data storage device for said at least one data element requested by said data processing device includes generating said data element request in a format understood by said
- 25 first data storage device.
- 30 33. A method for migrating data from a first data storage device previously coupled to a data processing device to a second data storage device, the first data storage device including a plurality of data processing elements presently being accessed by said data processing device, and from which at least some of said plurality of data elements are to be copied, said method comprising the steps of:
- 35 providing a second data storage device, for storing said plurality of data elements to be accessed by said data storage device, said second data storage device including a data element map including at least an

-27-

indication of whether a data element is stored on said second data storage device;  
coupling said second data storage device to said data processing device;  
5 coupling said second data storage device to said first data storage device;  
configuring said second data storage device to include a plurality of data element storage location addresses corresponding to data element storage location  
10 addresses on said first data storage device;  
determining that said second data storage device is not busy responding to data element requests from said data processing device;  
reading said data element map of said second data  
15 storage device;  
determining which data elements stored on said first data storage device are not stored on said second data storage device;  
requesting said data elements which have not been  
20 copied to said second data storage device from said first data storage device;  
storing said requested data elements on said second data storage device; and  
updating said data element map to indicate that said  
25 stored data elements are stored on said second data storage device.

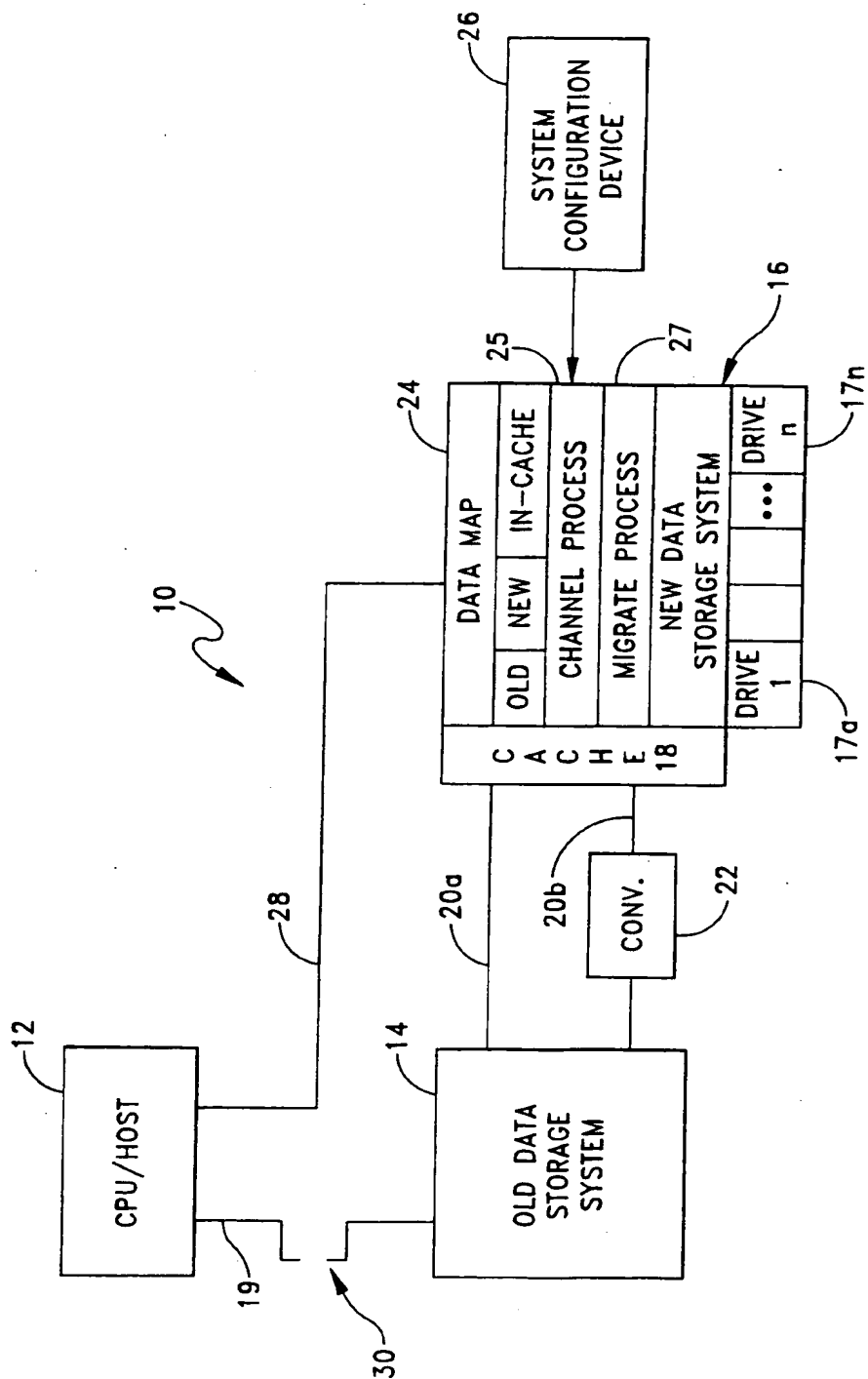


FIG. 1

24

58

DATA MAP/TABLE

IN CACHE		WRITE PENDING	OTHER	NEW ADDRESS	NEED MIGRATION
50 DEVICE X	X	X		...	YES
52 VOLUME 1	X	X			YES
54a TRACK 1					YES
54b TRACK 2		X			NO
⋮		⋮		⋮	⋮
54c TRACK N					YES
56 VOLUME 2					YES
⋮		⋮		⋮	⋮

60

64

62

61

FIG. 2

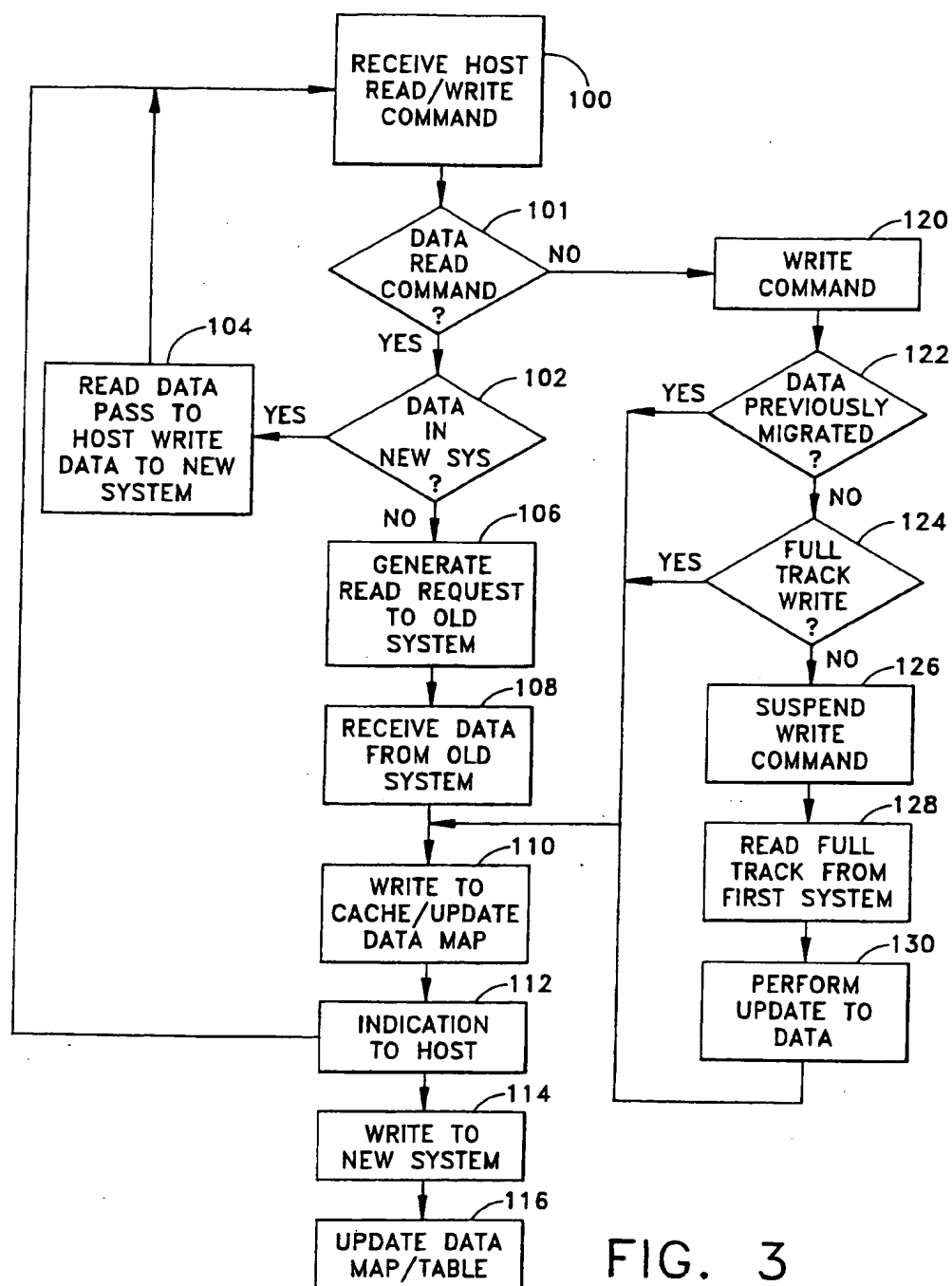


FIG. 3



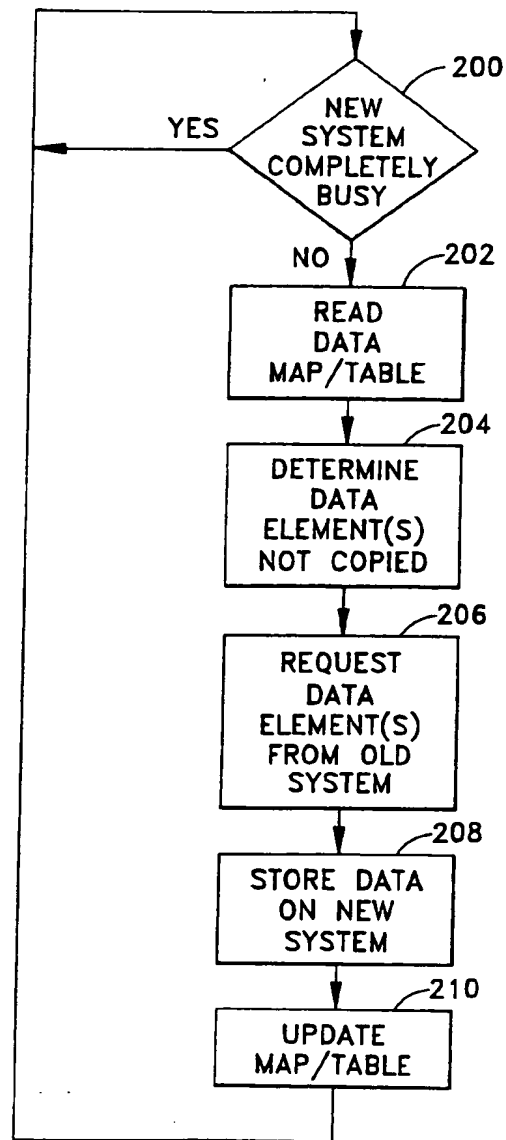


FIG. 4

# INTERNATIONAL SEARCH REPORT

International application No.  
PCT/US96/13781

## A. CLASSIFICATION OF SUBJECT MATTER

IPC(6) : G06F 12/00, 13/00

US CL : 364/232.2, 248.1, 238.4; 395/182.04, 600

According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

U.S. : 364/232.2, 248.1, 238.4; 395/182.04, 600

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)

APS, Maya, JPOAPS, TDB, EPO, Proquest, Computer Select

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	US, A 3,771,137 (BARNER ET AL) 06 November 1973, see col. 2, lines 34-36; col. 2, lines 31-34; col. 2, lines 51-58; col. 2, lines 53-54; col. 4, lines 58-62; col. 9, lines 39-47; col. 2, lines 31-55.	1-33

☐ Further documents are listed in the continuation of Box C. ☐ See patent family annex.

* Special categories of cited documents:	* T	later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
* A		document defining the general state of the art which is not considered to be of particular relevance
* E		earlier document published on or after the international filing date
* L		document which may throw doubt on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
* O		document referring to an oral disclosure, use, exhibition or other means
* P		document published prior to the international filing date but later than the priority date claimed
	* X	document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
	* Y	document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art
	* A	document member of the same patent family

Date of the actual completion of the international search

01 NOVEMBER 1996

Date of mailing of the international search report

19 NOV 1996

Name and mailing address of the ISA/US  
Commissioner of Patents and Trademarks  
Box PCT  
Washington, D.C. 20231

Facsimile No. (703) 305-3230

Authorized officer

Thomas C. Lee

Telephone No. (703) 305-9717